

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	09/989,583
Filing Date	November 20, 2001
First Named Inventor	Stephen Todd
Art Unit	2152
Examiner Name	Victor D. Lesniewski
Attorney Docket Number	EMC-033PUS

U. S. PATENT DOCUMENTS					
Examiner Initials ^a	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
VL		US- 20030135385	07/17/2003	Karpoff	
		US- 5,835,724	11/10/1998	Smith	
		US- 6,829,685	12/07/2004	Neal et al.	
		US- 20020112113	08/15/2002	Karpoff et al.	
		US- 6,826,580	11/30/2004	Harris et al.	
		US- 6,788,649	09/07/2004	Dugan et al.	
		US- 5,822,780	10/13/1998	Schutzman	
		US- 5,550,816	08/27/1996	Hardwick et al.	
		US- 6,795,830	09/21/2004	Banerjee et al.	
		US- 6,615,258	09/02/2003	Barry et al.	
		US- 6,785,794	08/31/2004	Chase et al.	
		US- 6,845,154	01/18/2005	Cave et al.	
		US- 6,993,632	01/31/2006	Kruckemyer et al.	
		US- 6,411,943	06/25/2002	Crawford	
		US- 6,345,288	02/05/2002	Reed et al.	
		US- 5,918,229	06/29/1999	Davis et al.	
		US- 5,978,577	11/02/1999	Rierden et al.	
		US- 6,430,611	08/06/2002	Kita et al.	
		US- 20020095547	07/18/2002	Watanabe et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	/Victor Lesniewski/	Date Considered	12/06/2006
--------------------	---------------------	-----------------	------------

^aEXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/989,583
Filing Date	November 20, 2001
First Named Inventor	Stephen Todd
Art Unit	2152
Examiner Name	Victor D. Lesniewski
Attorney Docket Number	EMC-033PUS

Sheet 2 of 2

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
VL		"HighGround SRM Enterprise Edition 4.0", System News, Article #3577, Vol. 38, Issue 3, 8 pages, April 16, 2001.	
VL		"New SRM 3.0 Enterprise Edition Now Downloadable", Sunbelt W2Knews Electronic Newsletter, 7 pages, November 5, 1998.	
VL		"Storage Management Best Practices with Sun HighGround Storage Resource Manager Software", Sun Microsystems White Paper, 18 pages, July 2001.	

Examiner Signature	/Victor Lesniewski/	Date Considered	12/06/2006
--------------------	---------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.